



CODE 6714-01

FEDERAL DEPOSIT INSURANCE CORPORATION

Agency Information Collection Activities: Submission for OMB Review; Comment Request (3064-0099; -0118; -0148 & -0153)

AGENCY: Federal Deposit Insurance Corporation (FDIC).

ACTION: Notice and request for comment.

SUMMARY: The FDIC, as part of its continuing effort to reduce paperwork and respondent burden, invites the general public and other Federal agencies to take this opportunity to comment on the renewal of existing information collections, as required by the Paperwork Reduction Act of 1995. On April 28, 2017, the FDIC requested comment for 60 days on a proposal to renew the information collections described below. No comments were received. The FDIC hereby gives notice of its plan to submit to OMB a request to approve the renewal of these collections, and again invites comment on this renewal.

DATES: Comments must be submitted on or before **[INSERT DATE 30 DAYS FROM PUBLICATION IN THE FEDERAL REGISTER]**.

ADDRESSES: Interested parties are invited to submit written comments to the FDIC by any of the following methods:

- <http://www.FDIC.gov/regulations/laws/federal/notices.html>.
- [Email: comments@fdic.gov](mailto:comments@fdic.gov). Include the name and number of the collection in the subject line of the message.

- Mail: Manny Cabeza (202-898-3767), Counsel, MB-3007, or Jennifer Jones (202-898-6768), Counsel, MB-3105, Federal Deposit Insurance Corporation, 550 17th Street NW, Washington, DC 20429.
- Hand Delivery: Comments may be hand-delivered to the guard station at the rear of the 17th Street Building (located on F Street), on business days between 7:00 a.m. and 5:00 p.m.

All comments should refer to the relevant OMB control number. A copy of the comments may also be submitted to the OMB desk officer for the FDIC: Office of Information and Regulatory Affairs, Office of Management and Budget, New Executive Office Building, Washington, DC 20503.

FOR FURTHER INFORMATION CONTACT: Manny Cabeza or Jennifer Jones, at the FDIC address above.

SUPPLEMENTARY INFORMATION:

On April 28, 2017, (82 FR 19718), the FDIC requested comment for 60 days on a proposal to renew the information collections described below. No comments were received. The FDIC hereby gives notice of its plan to submit to OMB a request to approve the renewal of these collections, and again invites comment on this renewal.

Proposal to renew the following currently approved collections of information:

1. Title: Application for Waiver of Prohibition on Acceptance of Brokered Deposits.

OMB Number: 3064-0099.

Form Number: None.

Affected Public: Insured state nonmember banks and state savings associations.

Burden Estimate:

Type of Burden	Estimated Number of Respondents	Estimated Time per Response	Frequency of Response	Total Annual Estimated Burden
Reporting	30	6 hours	On Occasion	180 hours

General Description of Collection: Section 29 of the Federal Deposit Insurance

Act prohibits undercapitalized insured depository institutions from accepting, renewing, or rolling over any brokered deposits. Adequately capitalized institutions may do so with a waiver from the FDIC, while well-capitalized institutions may accept, renew, or roll over brokered deposits without restriction. This information collection captures the burden associated with preparing and filing an application for a waiver of the prohibition on the acceptance of brokered deposits.

There is no change in the method or substance of the collection. The overall reduction in burden hours is a result of economic fluctuation. In particular, the number of respondents has decreased while the hours per response remain the same.

2. Title: Management Official Interlocks.

OMB Number: 3064-0118.

Form Number: None.

Affected Public: Insured state nonmember banks and state savings associations.

Burden Estimate:

Type of Burden	Estimated Number of Respondents	Estimated Time per Response	Frequency of Response	Total Annual Estimated Burden
Reporting	3	7	On Occasion	21 hours

General Description of Collection: The FDIC's Management Official Interlocks regulation, 12 CFR 348, which implements the Depository Institutions Management Interlocks Act (DIMIA), 12 U.S.C. 3201–3208, generally prohibits bank management officials from serving simultaneously with two unaffiliated depository institutions or their holding companies but allows the FDIC to grant exemptions in appropriate circumstances. Consistent with DIMIA, the FDIC's Management Official Interlocks regulation has an application requirement requiring information specified in the FDIC's procedural regulation. The rule also contains a notification requirement.

There is no change in the method or substance of the collection. The overall reduction in burden hours is a result of economic fluctuation as well as the change in complexity of the reporting institutions. In particular, the number of respondents has decreased while the hours per response have increased due to the complexity of the reporting institutions.

3. Title: Interagency Statement on Sound Practices Concerning Complex Structured Finance Transactions.

OMB Number: 3064-0148.

Form Number: Interagency Statement on Sound Practices Concerning Elevated Risk Complex Structured Finance Activities.

Affected Public: Insured state nonmember banks and state savings associations.

Burden Estimate:

Type of Burden	Estimated Number of Respondents	Estimated Time per Response	Frequency of Response	Total Annual Estimated Burden
Recordkeeping	4	25	On Occasion	100 hours

General Description of Collection: The Interagency Statement on Sound Practices Concerning Complex Structured Finance Transactions describes the types of internal controls and risk management procedures that the Agencies believe are particularly effective in assisting financial institutions to identify, evaluate, assess, document, and control the full range of credit, market, operational, legal and reputational risks. A financial institution that engages in complex structured finance transactions should maintain a set of formal, written, firm-wide policies and procedures that are designed to allow the institution to identify and assess these risks.

There is no change in the method or substance of the collection. The overall reduction in burden hours is a result of economic fluctuation. In particular, the number of respondents has decreased while the hours per response remain the same.

4. Title: Regulatory Capital Rules

OMB Number: 3064-0153.

Form Number: None.

Affected Public: State nonmember banks, state savings associations, and certain subsidiaries of those entities.

Burden Estimate:

ESTIMATED HOURLY BURDEN					
BASEL III Advanced Approaches: RECORDKEEPING and DISCLOSURE	Type of Burden	Estimated Number of Respondents	Estimated Time per Response	Frequency of Response	Total Annual Estimated Burden
Implementation plan -- Section __.121(b): Ongoing	Recordkeeping	2	330.0	On Occasion	660
Documentation of advanced systems -- Section __.122(j): Ongoing	Recordkeeping	2	19.0	On Occasion	38
Systems maintenance -- Sections __.122(a), __.123(a), __.124(a): Ongoing	Recordkeeping	2	27.9	On Occasion	56
Supervisory approvals -- Sections __.122(d)-(h), __.132(b)(3), __.132(d)(1), __.132(d)(1)(iii): Ongoing	Recordkeeping	2	16.8	On Occasion	34
Control, oversight and verification of systems -- Sections __.122 to __.124: Ongoing	Recordkeeping	2	11.1	On Occasion	22
(CCR) -- Section __.132(b)(2)(iii)(A): One-time	Recordkeeping	1	80.0	On Occasion	80
(CCR) -- Section __.132(b)(2)(iii)(A): Ongoing	Recordkeeping	2	16.0	On Occasion	32
(CCR) -- Section __.132(d)(2)(iv): One-time	Recordkeeping	1	80.0	On Occasion	80
(CCR) -- Section __.132(d)(2)(iv): Ongoing	Recordkeeping	2	40.0	On Occasion	80
(CCR) -- Section __.132(d)(3)(vi): One-time	Recordkeeping	1	80.0	On Occasion	80
(CCR) -- Section __.132(d)(3)(viii): One-time	Recordkeeping	1	80.0	On Occasion	80
(CCR) -- Section __.132(d)(3)(viii) Ongoing	Recordkeeping	2	10.0	Quarterly	80
(CCR) -- Section __.132(d)(3)(ix): One-time	Recordkeeping	1	40.0	On Occasion	40
(CCR) -- Section __.132(d)(3)(ix): Ongoing	Recordkeeping	2	40.0	On Occasion	80
(CCR) -- Section __.132(d)(3)(x): One-time	Recordkeeping	1	20.0	On Occasion	20
(CCR) -- Section __.132(d)(3)(xi): One-time	Recordkeeping	1	40.0	On Occasion	40
(CCR) -- Section __.132(d)(3)(xi): Ongoing	Recordkeeping	2	40.0	On Occasion	80
(OC) -- Section __.141(b)(3), __.141(c)(1), __.141(c)(2)(i)-(ii), __.153:: One-time	Recordkeeping	1	40.0	On Occasion	40
(OC) -- Section __.141(c)(2)(i)-(ii): Ongoing	Recordkeeping	2	10.0	Quarterly	80
Sections __.142 and __.171: Ongoing	Disclosure	2	5.8	On Occasion	12
(CCB and CCYB) -- Section __.173, Table 4 (CR) __.173, Table 5 (Securitization) __.173, Table 9 (IRR) __.173, Table 12: Ongoing	Disclosure	2	35.0	Quarterly	280
(CCB and CCYB) -- Section __.173, Table 4 (CR) Section __.173, Table 5 (Sec.) Section __.173, Table 9 (IRR) Section __.173, Table 12: One-time	Disclosure	1	280.0	On Occasion	280
SUBTOTAL: One-time Recordkeeping and Disclosure					740
SUBTOTAL: Ongoing Recordkeeping and Disclosure					1,533
TOTAL RECORDKEEPING and DISCLOSURE					2,273

Minimum Regulatory Capital Ratios: RECORDKEEPING	Type of Burden	Estimated Number of Respondents	Estimated Time per Response	Frequency of Response	Total Annual Estimated Burden
(CCR Operational Requirements) -- Sections _.3(c) and_.22(h)(2)(iii)(A): Ongoing	Recordkeeping	3,787	16.0	On Occasion	60,592
SUBTOTAL: One-time Recordkeeping					0
SUBTOTAL: Ongoing Recordkeeping					60,592
TOTAL RECORDKEEPING					60,592
Standardized Approach: RECORDKEEPING and DISCLOSURE	Type of Burden	Estimated Number of Respondents	Estimated Time per Response	Frequency of Response	Total Annual Estimated Burden
(QCCP) -- Section _.35(b)(3)(i)(A): One-time	Recordkeeping	1	2.0	On Occasion	2
(QCCP) -- Section _.35(b)(3)(i)(A): Ongoing	Recordkeeping	3,787	2.0	On Occasion	7,574
(CT) -- Section _.37(c)(4)(i)(E): One-time	Recordkeeping	1	80.0	On Occasion	80
(CT) -- Section _.37(c)(4)(i)(E): Ongoing	Recordkeeping	3,787	16.0	On Occasion	60,592
(SE) -- Section _.41(b)(3) and _.41(c)(2)(i): One- time	Recordkeeping	1	40.0	On Occasion	40
(SE) -- Section _.41(c)(2)(i): Ongoing	Recordkeeping	3,787	2.0	On Occasion	7,574
(S.E.) -- Section _.42(e)(2), (C.R.) Sections_.62(a),(b),& (c), (Q&Q) Sections_.63(a) & (b): One-time	Disclosure	1	226.3	On Occasion	226
(S.E.) -- Section _.42(e)(2), (C.R.) Sections_.62(a),(b),& (c), (Q&Q) Sections_.63(a) & (b) and _.63 Tables: Ongoing	Disclosure	1	131.3	Quarterly	525
SUBTOTAL: One-time Recordkeeping and Disclosure					348
SUBTOTAL: Ongoing Recordkeeping and Disclosure					76,265
TOTAL RECORDKEEPING and DISCLOSURE					76,613
TOTAL BURDEN HOURS					139,478

General Description of Collection: This collection comprises the disclosure and recordkeeping requirements associated with minimum capital requirements and overall capital adequacy standards for insured state nonmember banks, state savings associations, and certain subsidiaries of those entities. The data is used by the FDIC to evaluate capital before approving various applications by insured depository institutions, to evaluate capital as an essential component in

determining safety and soundness, and to determine whether an institution is subject to prompt corrective action provisions.

There is no change in the method or substance of the collection. The overall reduction in burden hours is a result of economic fluctuation. In particular, the number of respondents has decreased while the hours per response remain the same. The overall reduction in burden hours also reflects a decrease in the number of entities that will incur any one-time implementation burden, as a majority of the entities have already fully implemented the one-time requirements associated with the rule.

Request for Comment

Comments are invited on: (a) Whether the collections of information are necessary for the proper performance of the FDIC's functions, including whether the information has practical utility; (b) the accuracy of the estimates of the burden of the information collections, including the validity of the methodology and assumptions used; (c) ways to enhance the quality, utility, and clarity of the information to be collected; and (d) ways to minimize the burden of the collections of information on respondents, including through the use of automated collection techniques or other forms of information technology. All comments will become a matter of public record.

Dated at Washington, DC, this 20th day of July, 2017.

Federal Deposit Insurance Corporation

Robert E. Feldman,
Executive Secretary

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